



PTO/SB/21 (08-00)

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3628

TRANSMITTAL FORM		Application Number	09/480,724
(to be used for all correspondence after initial filing)		Filing Date	January 7, 2000
		First Named Inventor	Robert Carey et al.
		Group Art Unit	3628
		Examiner Name	H. Dass
Total Number of Pages in This Submission	9	Attorney Docket Number	12640US01

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s) (sheets)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return receipt postcard
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<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
	Remarks	The Commissioner is authorized to charge any deficiencies or credit any overpayment to Deposit Account No. 13-0017.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	Ronald E. Larson, Esq. McAndrews Held & Malloy, Ltd.	<i>RECEIVED</i>
Signature	<i>Ronald E. Larson</i>	
Date	JAN 13 2004	
GROUP 3628		

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on January 6, 2004

Name (Print/type)	Ronald E. Larson	Registration No. (Attorney/Agent)	24,478
Signature	<i>Ronald E. Larson</i>		Date
			Jan. 6, 2004



#14cm
2-29-04

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Case No. 12640US01

PATENT

In the Application of:

ROBERT CAREY et al.

Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING
SECURITIES FOR A PORTFOLIO

Examiner: Harish T. Dass

Group Art Unit: 3628

Confirmation No.: 4660

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By: Ronald E. Larson
Ronald E. Larson
Reg. No. 24,478

AMENDMENT C

Assistant Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

Dear Sir:

In response to the Office Action dated October 8, 2003, kindly amend the above-identified application as follows:

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JAN 13 2004
GROUP 3600